

12-21-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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12/17/01

1129 U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |                                      |
|------------------------|--------------------------------------|
| Attorney Docket No.    | CER-295                              |
| First Inventor         | QI, Helena                           |
| Title                  | PRODUCTION OF CYCLODEXTRIN COMPLEXES |
| Express Mail Label No. |                                      |

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages **19**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐]
- Oath or Declaration [Total Pages **19**]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: **Form PTO-2038**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the continuing or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion of the disclosure is omitted from the submitted application parts.

**COMMUNICATIONS ADDRESS**☐ Customer Number or Bar Code Label

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or ☐ Correspondence address below

|         |                                     |           |              |          |              |
|---------|-------------------------------------|-----------|--------------|----------|--------------|
| Name    | <b>BIERMAN, MUSERLIAN AND LUCAS</b> |           |              |          |              |
| Address | 600 Third Avenue                    |           |              |          |              |
| City    | New York                            | State     | NY           | Zip Code | 10016        |
| Country | US                                  | Telephone | 212-661-8000 | Fax      | 212-661-8002 |

|                   |                        |                                   |          |
|-------------------|------------------------|-----------------------------------|----------|
| Name (Print/Type) | Donald C. Lucas        | Registration No. (Attorney/Agent) | 31,275   |
| Signature         | <i>Donald C. Lucas</i> | Date                              | 12-17-01 |

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11046 U.S. PTO

10/024541

12/17/01

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$780

## Complete if Known

Application Number  
Filing Date  
First Named Inventor **QI, Helena**  
Examiner Name  
Group Art Unit  
Attorney Docket No. **CER-295**

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **02-2275**
- Deposit Account Name **BIERMAN, MUSERLIAN AND LUCAS**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☐ Check ☒ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

| 1. BASIC FILING FEE    |                        |                               |          |     |  |
|------------------------|------------------------|-------------------------------|----------|-----|--|
| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description               | Fee Paid |     |  |
| 101                    | 710                    | 201 355 Utility filing fee    | 740      |     |  |
| 106                    | 320                    | 206 160 Design filing fee     |          |     |  |
| 107                    | 490                    | 207 245 Plant filing fee      |          |     |  |
| 108                    | 710                    | 208 355 Reissue filing fee    |          |     |  |
| 114                    | 150                    | 214 75 Provisional filing fee |          |     |  |
| SUBTOTAL (1)           |                        |                               | (\$)     | 740 |  |

| 2. EXTRA CLAIM FEES |              |                |          |  |  |
|---------------------|--------------|----------------|----------|--|--|
| Total Claims        | Extra Claims | Fee from below | Fee Paid |  |  |
| Independent Claims  | -20** =      | X              |          |  |  |
| Multiple Dependent  | -3** =       | X              |          |  |  |

| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description  | Fee Paid |  |  |
|------------------------|------------------------|--|----------|--|--|
| 103                    | 18                     | 203 9 Claims in excess of 20                                     |          |  |  |
| 102                    | 80                     | 202 40 Independent claims in excess of 3                         |          |  |  |
| 104                    | 270                    | 204 135 Multiple dependent claim, if not paid                    |          |  |  |
| 109                    | 80                     | 209 40 ** Reissue independent claims over original patent        |          |  |  |
| 110                    | 18                     | 210 9 ** Reissue claims in excess of 20 and over original patent |          |  |  |
| SUBTOTAL (2)           |                        |  | (\$)     |  |  |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

| 3. ADDITIONAL FEES     |                        |   |          |    |  |
|------------------------|------------------------|---|----------|----|--|
| Large Entity Code (\$) | Small Entity Code (\$) | Fee Description   | Fee Paid |    |  |
| 105                    | 130                    | 205 65 Surcharge - late filing fee or oath  |          |    |  |
| 127                    | 50                     | 227 25 Surcharge - late provisional filing fee or cover sheet                     |          |    |  |
| 139                    | 130                    | 139 130 Non-English specification   |          |    |  |
| 147                    | 2,520                  | 147 2,520 For filing a request for <i>ex parte</i> reexamination                  |          |    |  |
| 112                    | 920*                   | 112 920* Requesting publication of SIR prior to Examiner action                   |          |    |  |
| 113                    | 1,840*                 | 113 1,840* Requesting publication of SIR after Examiner action                    |          |    |  |
| 115                    | 110                    | 215 55 Extension for reply within first month                                     |          |    |  |
| 116                    | 390                    | 216 195 Extension for reply within second month                                   |          |    |  |
| 117                    | 890                    | 217 445 Extension for reply within third month                                    |          |    |  |
| 118                    | 1,390                  | 218 695 Extension for reply within fourth month                                   |          |    |  |
| 128                    | 1,890                  | 228 945 Extension for reply within fifth month                                    |          |    |  |
| 119                    | 310                    | 219 155 Notice of Appeal  |          |    |  |
| 120                    | 310                    | 220 155 Filing a brief in support of an appeal                                    |          |    |  |
| 121                    | 270                    | 221 135 Request for oral hearing  |          |    |  |
| 138                    | 1,510                  | 138 1,510 Petition to institute a public use proceeding                           |          |    |  |
| 140                    | 110                    | 240 55 Petition to revive - unavoidable   |          |    |  |
| 141                    | 1,240                  | 241 620 Petition to revive - unintentional  |          |    |  |
| 142                    | 1,240                  | 242 620 Utility issue fee (or reissue)  |          |    |  |
| 143                    | 440                    | 243 220 Design issue fee  |          |    |  |
| 144                    | 600                    | 244 300 Plant issue fee   |          |    |  |
| 122                    | 130                    | 122 130 Petitions to the Commissioner   |          |    |  |
| 123                    | 50                     | 123 50 Processing fee under 37 CFR 1.17(q)  |          |    |  |
| 126                    | 180                    | 126 180 Submission of Information Disclosure Stmt                                 |          |    |  |
| 581                    | 40                     | 581 40 Recording each patent assignment per property (times number of properties) | 40       |    |  |
| 146                    | 710                    | 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |    |  |
| 149                    | 710                    | 249 355 For each additional invention to be examined (37 CFR § 1.129(b))          |          |    |  |
| 179                    | 710                    | 279 355 Request for Continued Examination (RCE)                                   |          |    |  |
| 169                    | 900                    | 169 900 Request for expedited examination of a design application                 |          |    |  |
| Other fee (specify)    |                        |   |          |    |  |
| SUBTOTAL (3)           |                        |   | (\$)     | 40 |  |

\*Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type) **Donald C. Lucas** Registration No. (Attorney/Agent) **31,275** Telephone **212-661-8000**

Signature **Donald C. Lucas** Date **12-17-01**

## Complete (if applicable)

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Date of Deposit: Dec 17, 2001

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with the United States Postal Service "EXPRESS MAIL POST OFFICE TO  
ADDRESSEE" Service under 37 CFR 1.10 on the date indicated above  
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D.C. 20231.

D. Halconcey

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